Inspection

Instructor Informat

Inspections Instructor

(703) 805-3895
DSN 655-3895

References

- **Army Regulation 1-201, Army Inspection Policy**
- **Army Regulation 20-1, Inspector General Activities and Procedures**
- **Army Regulation 381-10, U.S. Army Intelligence Activities**
- **The Inspections Guide**
- **The Intelligence Oversight Guide**
- **Advance Sheets**
- **The IG Reference Guide, Part 8, Fort Von Steuben**
- **Inspections Table Group Chart (Hand-out)**

Basic Ground Rules

- **Please ask questions relevant to the topic of Inspections.**
- **Please avoid sidebar discussions during the instruction.**
- **Please avoid personal Internet / email use during class time and practical exercises.**
- **<u>We start on time.</u>**
- **Please use your table microphones.**

Inspections Training Schedule

Day 2 (Tuesday)

- **0800-1100** **Inspection Principles and Organizational Inspection Program (OIP)**
- **1100-1600** **Inspections Process**

Day 3 (Wednesday)

- **0800-1500** **Inspections Process**
- **1500-1530** **Intelligence Oversight**
- **1530-1600** **DAIG Intelligence Oversight Division**

Inspections Training Schedule

Inspections

Day 4 (Thursday)

- **0800-1100** — **Inspections Process**
- **1100-1130** — **DAIG Information Assurance Division**
- **1230-1630** — **Inspections PEs (seminar rooms)**
  Interview
  Sensing-Session
  IPR / Unit Out-Briefing

Issue Graded Homework (Practical Exercise 10) (due on Monday at 0800)

Day 5 (Friday)

- **0800-0830** — **Inspections Quiz**
- **0830-0900** — **Inspections Quiz Review**

Day 12 – 14 (Week 3)

Inspections Extended Practical Exercise (EPE)

Why Do Inspections?

- **Proactively resolves issues that affect unit readiness and warfighting capability.**
- **Promotes and reinforces good performance and best practices.**
- **Underscores leadership priorities.**

If it's important – inspect what you expect

Inspections:
Relevance for an Army at War

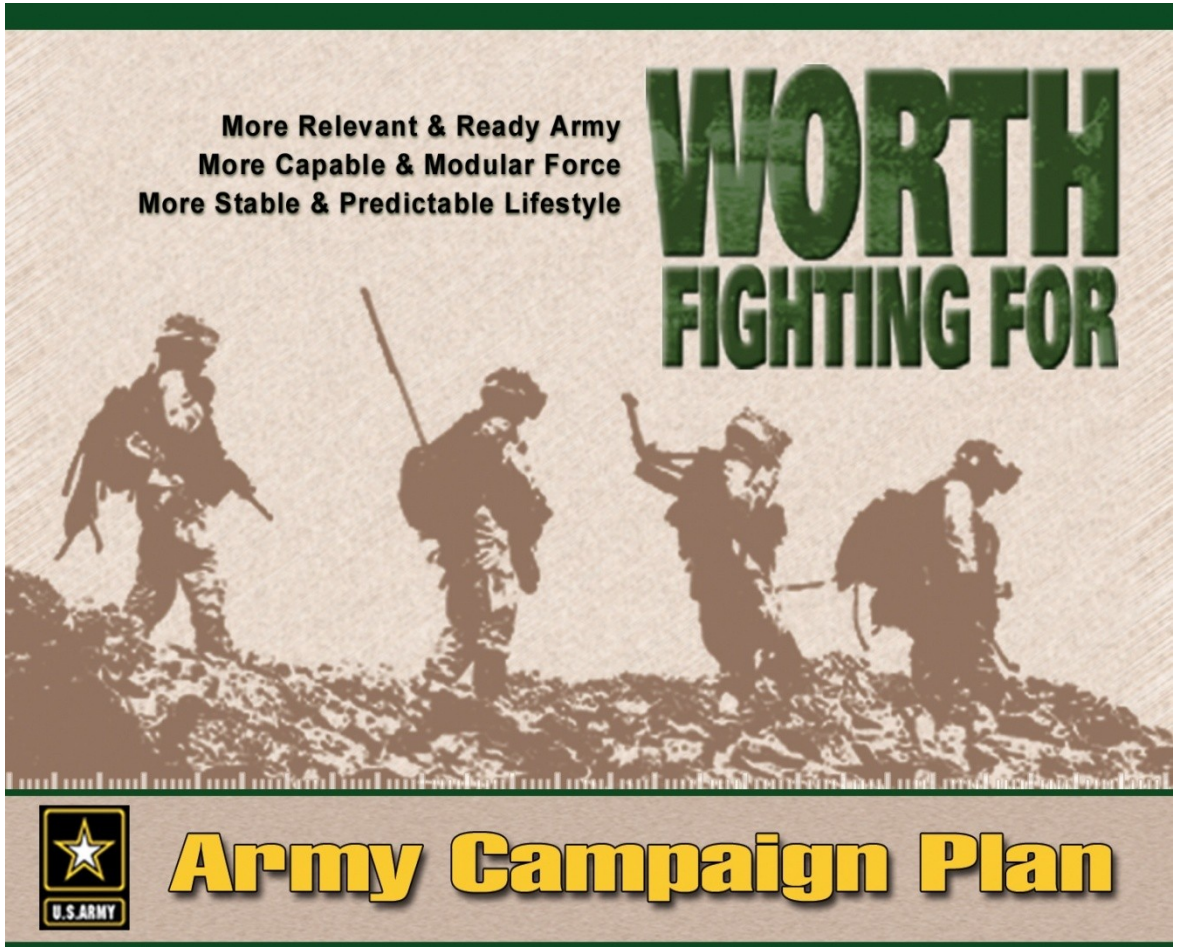
- 250,000 Soldiers in 80 countries around the world.
- 27,000 Army National Guard and 15,000 Army Reserve Soldiers on active duty.
- 6,000 Soldiers currently support Homeland Security Missions.
- Global War on Terrorism = Long War.

Inspections: Relevance for a Changing Army

Modular

Rebalanced

Stabilized



Enabling Learning Objectives (ELOs)

Reference: Advance Sheets

Pages 7 through 9

Questions for the Inspections Quiz and the Final Exam will come directly from the ELOs!

ELOs (continued)

ELO

1. Define the following terms:
   - Inspection
   - Standard
   - Initial Command Inspection (ICI)
   - Subsequent Command Inspection (SCI)
   - Root Cause
   - In-Process Review (IPR)
   - Crosswalk
   - Handoff

ELOs

ELO

2. Describe the purpose of the Organizational Inspection Program (OIP).

3. Describe the IG's role in the OIP.

4. Identify the three inspection categories (Command, Staff, and IG).

5. Identify who may direct an IG Inspection.

ELOs (continued)

ELO

6. Describe the Root-Cause Analysis Model.

7. Identify the battalion as the basic building block of the OIP.

8. Describe the three phases of the Inspections Process (Preparation, Execution, and Completion).

9. Identify the five information-gathering domains (Interviews, Sensing Sessions, Document Review, Observation, Surveys / Questionnaires)

ELOs (continued)

ELO

10. Identify the five parts of the recommended findings section format.

- **Finding Statement**
- **Standard**
- **Inspection Results (Discussion)**
- **Root Cause**
- **Recommendation(s)**

ELOs (continued)

11. **Describe the Impact of the rules of IG records on IG Inspection Reports.**

12. **Describe the nature of Compressed IG Inspections.**

13. **Apply the three-phase, 17-step Inspections Process.**

14. **Apply the Root-Cause Analysis Model.**

15. **Complete a findings section using the appropriate information.**

Table Group

- **Your table group represents the Fort Von Steuben Inspector General (IG) shop's Inspections Branch for the purposes of all Practical Exercises.**

- **Refer to page 8-15 of <u>The IG Reference Guide</u> for a diagram of the IG office.**

- **Become familiar with Fort Von Steuben and the 66th Infantry Division.**

- **Refer to the Inspections Table Group Chart for Practical-Exercise leadership assignments.**

Definition of an Inspection

ELO 1

"**An evaluation that measures performance against a standard and should identify the cause of any deviation. All inspections start with compliance against a standard. Commanders tailor inspections to their needs.**"

ELO 1

AR 1-201, Glossary; The Inspections Guide, Section 2-2, page 2-2-1

A standard is the way things should be.

Searching for Standards

Use the Internet

- **Army Publishing Directorate (APD)**

http://www.apd.army.mil/

- **Army G-1 (Pentagon)**

http://www.armyg1.army.mil/

- **Department of Defense Directives**

http://www.dtic.mil/whs/directives/

- **National Guard Bureau**

http://www.ngbpdc.ngb.army.mil/

Know the proponent for each regulation to fix responsibility, and check the applicability of the regulation. *Does the regulation apply to everyone in the Army?*

Army Inspection Policy

Army Regulation 1-201

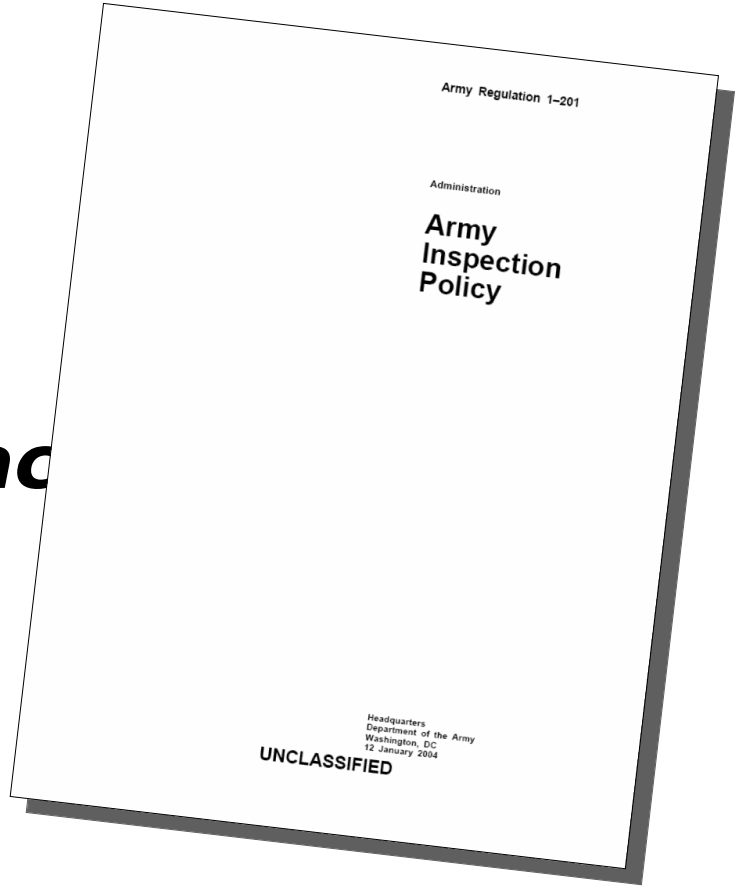
- **Identifies responsibilities**
- **Requires Commanders to designate an OIP Coordinator**
- **Defines inspection terms and concepts**
- **Outlines the Army's inspection principles**
- **Establishes the Organizational Inspection Program (OIP) -- the most important aspect of AR 1-201**

Principles of Army Inspections

Five Principles (AR 1-201, paragraph 2-2)

Inspections

1. ***Purposeful***
2. ***Coordinated***
3. ***Focused on Feedbac***
4. ***Instructive***
5. ***Followed up***



Principles of Army Inspections
(continued)

1. Purposeful

The commander approves the specific purpose of the inspection.

- ***Related to mission accomplishment*.**
- ***Be tailored to meet the commander's needs while remaining relevant and responsive.***
- ***Be performance-oriented and start with an evaluation against a standard.***

Principles of Army Inspections
(continued)

2. Coordinated

To ensure the proper coordination of inspections, an annual review of all scheduled inspections should occur that answers the following three questions:

- ***Can this inspection be canceled or combined with another inspection?***
- ***Does this inspection duplicate or complement another inspection?***
- ***Do inspection reports from other agencies or echelons of command exist that can assist in the conduct of an inspection?***

Principles of Army Inspections
(continued)

Inspections

3. Focused on Feedback - Written or Verbal

- ***Inspections are critical because they provide the commander / TAG with accurate and timely feedback.***

- ***Inspection results include:***

  - ✓ ***The identification of root causes.***

  - ✓ ***The identification of strengths and weaknesses.***

Principles of Army Inspections
(continued)

4. Instructive

- ***Teaching and training** is an essential element of all inspections and is the overarching purpose of Staff Assistance Visits.*

- ***No inspection is complete if the units or agencies inspected have not learned about goals and standards and how to achieve them.***

Principles of Army Inspections
(continued)

5. Followed up

- ***Inspections expend valuable resources and are not complete unless a unit or agency develops and executes a follow-up inspection or plan to ensure the implementation of corrective actions.***

- ***Follow-up actions can include:***

  - ✓ **Re-inspections**
  - ✓ **Telephone calls or visits to proponents to check on the progress of corrective actions**
  - ✓ **Requests for formal responses (Reply**

Principles of Army Inspections

Five Principles (AR 1-201, paragraph 2-2)

1. ***Purposeful***
2. ***Coordinated***
3. ***Focused on Feedback***
4. ***Instructive***
5. ***Followed up***

Review

- **Define the term Inspection.**

- **What is a Standard?**

The Organizational Inspection Program (OIP)

AR 1-201, Chapter 3

The Inspections Guide, Chapter 5

The Organizational Inspection Program (OIP)

The Commander's plan for inspections!

- **The OIP comprises all inspections within a unit**
- **The OIP is a command responsibility and program**
- **The OIP complements and reinforces other evaluations**
- **The OIP minimizes the duplication of evaluations**
- **The IG is the proponent for inspection policy**
- **The G-3, S-3, or equivalent OPS agency is**

Purpose of the OIP

To coordinate inspections and audits into a single, cohesive program focused on command objectives.

The OIP provides the commander with an organized management tool to identify, prevent, or eliminate problem areas.

Role of the IG in the OIP

ELO 3

- Develop the IG Inspection Program as part of t
- Advise commanders and staffs on inspection p
- Advise the commander on the OIP's effectiven
- Conduct IG Inspections

AR 20-1, paragraph 5-1g

AR 1-201, paragraph 1-4

Role of the OIP Coordinator

- **Develop** and maintain the written OIP for the unit or command
- **Coordinate** the execution of <u>all</u> inspection programs within the unit or command
- **Maintain** a calendar or schedule of planned inspections
- **Serve** as the executive agent for the Command Inspections (if required)

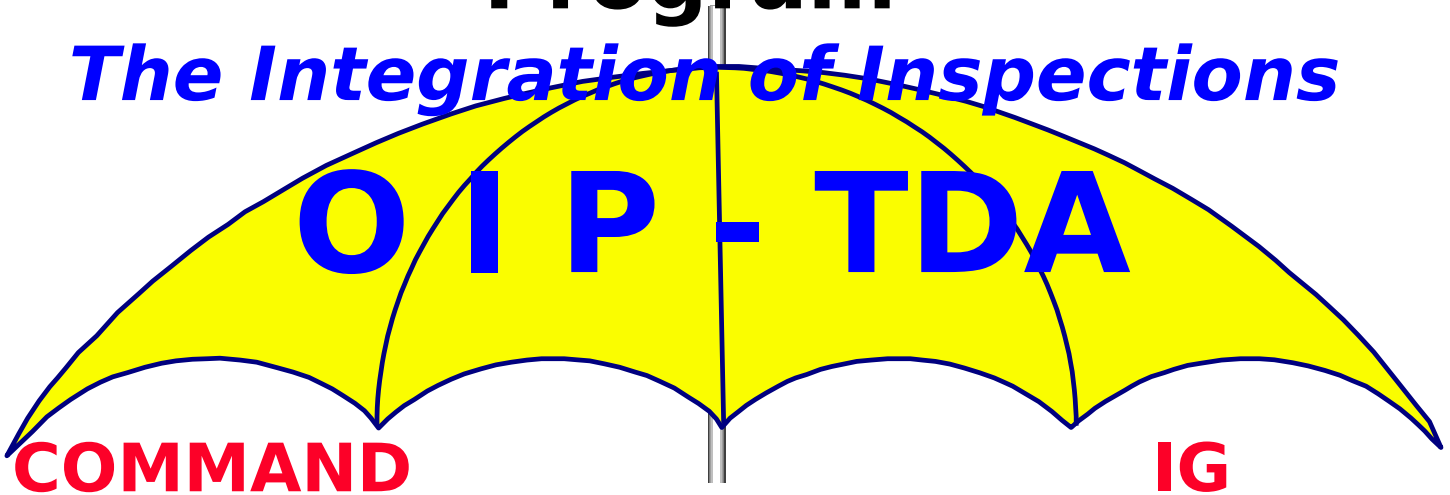
The Organizational Inspection Program (OIP)

The Integration of Inspections

AR 1-201, paragraphs 3-2 to 3-5
The Inspections Guide, Chapter 5

The Organizational Inspection Program

The Integration of Inspections



COMMAND INSPECTION

Garrison HHCs

External Inspections

STAFF INSPECTION

SAV

IG INSPECTION

Internal Inspections

Internal Control, Risk Assessment

Small Business, Security, EEO, Force Protection, Surety

The Inspections Guide, Chapter 7

Categories of Inspections

ELO 4

1. Command Inspection

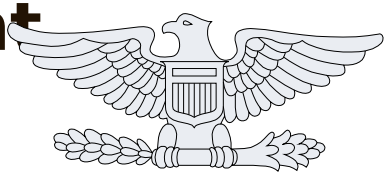
2. Staff Inspection

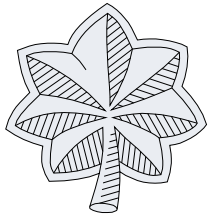
3. Inspector General Inspection

AR 1-201, paragraphs 3-2 to 3-5

Command Inspections

- **A scheduled, formal event**
- **Led by the Commander**





- **Initial Command Inspection (ICI) (company or detachment)**
- **Subsequent Command Inspection (SCI)**

AR 1-201, paragraphs 3-2 to 3-3

Initial Command Inspection

ELO 1

- **Required for Company Commanders (or like commands: detachments, troops, batteries)**
  - **Within 90 days for the Active Component**
  - **Within 180 days for National Guard (NG) and U.S. Army Reserve (USA**

The inspecting commander must be present and participating in the inspection!

AR 1-201, paragraph 3-3c

Initial Command Inspection

(continued)

ELO 1

- **Identifies unit strengths and weaknesses**

- **Cannot be used to evaluate the Company Commander**
- **Helps commanders establis goals, standards, and prioriti**
- **Not used to compare units**
- **Only the inspected commander and that commander's rater will receive the specific results (IG can request results without unit attribution)**

AR 1-201, paragraph 3-3c

Subsequent Command Inspection

ELO 1

- **Measures progress and reinforces goals and objectives established during the Initial Command Inspection (ICI).**

- **Commanders will conduct Subsequent Command Inspections (SCIs) following all ICIs and not later than one year after completion of the new commander's ICI.**

- **The inspecting commander determines the timing of SCIs in the Army National Guard of the United States and the U.S. Army Reserve.**

- **The inspecting commander may use the results of the Subsequent Command Inspection to evaluate the company commander.**

The inspecting commander must be present and participating in the inspection!

AR 1-201, paragraph 3-3d

Staff Inspection

- **Led by a staff member of a functional area.**
- **Focuses on a single functional area or a few related areas.**
- **Conducted by the lowest-level staff member technically qualified in the functional area.**
- **Should complement Command and IG Inspections.**
- **Compliance oriented.**

Staff Assistance Visits

- **Directly support Staff Inspection and Command Inspection Programs**

- **Assist, teach, and train subordinate staff sections on how to meet the required standards of a particular functional area**

- **Can prepare staff sections for upcoming inspections or train them on new concepts, technologies, or operating techniques**

Inspector General Inspection

Inspector General inspections should:

- **Pursue systemic issues**
- **Identify sub-standard performance, determine the magnitude of the deficiency, and seek the reason for the deficiency (the root cause)**
- **Teach systems processes and procedures**
- **Identify responsibility for corrective actions**

Inspector General Inspection

Who May Direct an IG Inspection?

ELO 5

Secretary of the Army (SA)

Chief of Staff of the Army (CSA) or Vice Chief of Staff of the Army (VCSA)

Inspection Directive

The Inspector General (TIG)

Commander (Directing Authority)

AR 20-1, Glossary, Section II (page 96)

Systemic and Local Problems

What is the difference?

- **Systemic problems are usually widespread and present a pattern. You can often trace these problems back to a regulation, policy, or other standard that is confusing, overly ambitious, or in conflict with another standard. The proponent is usually the person to fix this type of problem.**

- **Local problems usually affect a small group of people or an individual and do not present a pattern. You can usually trace these problems back to a particular person's decision, demeanor, or statements. The level of organization that the problem affects is the best place to solve this problem.**

Systemic and Local Problems

What is the difference?

Several Soldiers in Company C, 3rd Battalion, 66th Infantry, failed to receive their Basic Allowance for Subsistence (BAS) in their End-of-Month (EOM) pay.

Is this problem a systemic or a local problem?

Systemic and Local Problems

What is the difference?

A lieutenant recently conducted a Permanent Change of Station (PCS) from Germany to Fort Von Steuben. Sixty days have passed, and he has still not received his household goods.

Is this a systemic or a local problem?

Systemic and Local Problems

What is the difference?

For the past six months, 31 percent of the Army National Guard Soldiers mobilized to Fort Von Steuben's Power-Projection Platform are found to be Dental Category 3 or 4 (Non-deployable). Twenty-five percent of the U.S. Army Reserve Soldiers are also Dental Cat 3 / 4 upon arrival to Fort Von Steuben.

Is this problem a systemic or a local problem?

Review

- **What is the purpose of the OIP?**
- **What is the IG's role in the OIP?**
- **What are the three inspection categories?**
- **When are Initial Command Inspections – Active, ARNG, and USAR – required?**
- **Who may direct an IG inspection?**

Why do units and people fail to comply with standards?

- **"That is the way we did it in my *old* unit."**
- **"I have no idea what you are talking about. I have been the S-1 for only two days."**
- **"Take a number. We have two CTC rotations, an OEF planning conference, and brigade formal in front of you."**
- **"I can't get any good help these days. I am on my butt because all of my staff officers are young lieutenants!"**

What are some other reasons you may have already heard?

The Root Cause Analysis Model

ELO 6

NON-COMPLIANCE

DON'T KNOW	CAN'T COMPLY	WON'T COMPLY
NEVER KNEW FORGOT TASK IMPLIED	FEW RESOURCES DON'T KNOW HOW IMPOSSIBLE	NO REWARD NO PENALTY DISAGREE

Root Cause: The underlying reason why something happens or does not happen.

The Inspections Guide, Section 3-3, pages 3-3-1 to 3-3-4

Don't Know

Why not?

- **Never knew** – The problem may be systemic in terms of getting guidance down to the user level.
- **Forgot** – The problem is usually a local or personal issue.
- **Task implied** – The problem could result from a lack of experience or specific guidance.

Look for written SOPs, regulations, policies, and so on.

Can't Comply

Why not?

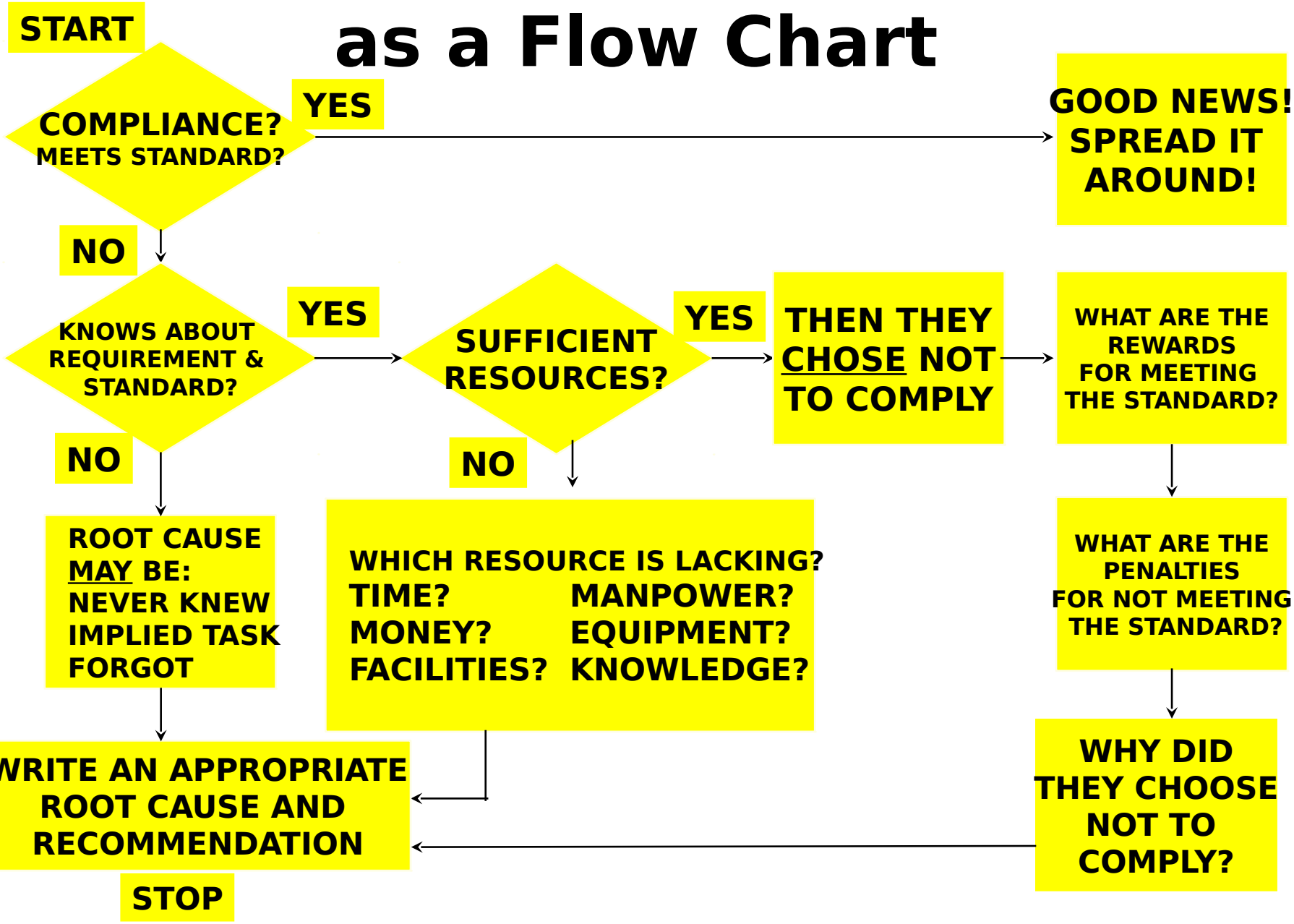
- **Scarce resources / low priority** – Always look at the big picture.
- **Don't know how** – Possibly a lack of training.
- **Impossible** – The unit or individuals may not even be able to accomplish the task.

Won't Comply

Why not?

- **No reward** – Check for incentives.
- **No penalty** – Nobody cares.
- **Disagree** – The unit or individual may be seeking an exception to policy or a change to the rules.

Root Cause Analysis as a Flow Chart



Root Cause

Case Study 1

- **Twenty percent of an infantry battalion's vehicle fleet is suffering from Class II oil leaks.**
- **The vehicle drivers said that they just tighten the bolts, wipe off the spot, and keep an eye on the leak.**

Root Cause

Case Study 1

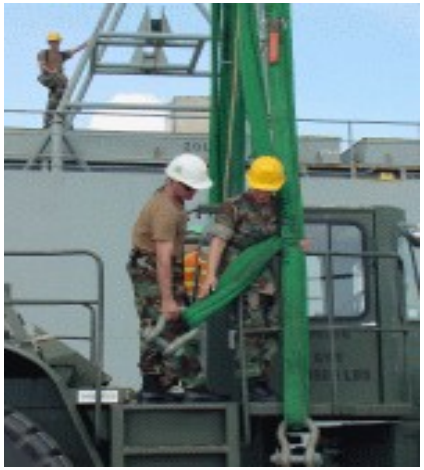
- **Twenty percent of an infantry battalion's vehicle fleet is suffering from Class II oil leaks.**
- **The vehicle drivers said that they just tighten the bolts, wipe off the spot, and keep an eye on the leak.**

- **What is the standard?**
  - **Tighten, wipe, and observe!**
- **We have a good news story!**
- **Is a root cause applicable?**

Root Cause

Case Study 2

- **Drivers are not conducting Preventive Maintenance Checks and Services (PMCS) to standard on their respective vehicles.**
- **Noncommissioned Officers (NCOs) are not in the motor pool to supervise the drivers during Command Maintenance due to competing requirements.**



Root Cause

Case Study 2

- **Drivers are not conducting a PMCS to standard on their respective vehicles.**
- **NCOs are not in the motor pool to supervise the drivers during Command Maintenance due to competing requirements.**

- **What is the standard?**

  Perform a proper PMCS on the vehicles.

- **NCOs: Can't comply because of competing requirements.**
- **Drivers: Can't comply due to a lack of experience and knowledge.**

Root Cause

Case Study 3

- **An armor battalion's Chemical, Biological, Radiological, and Nuclear (CBRN) equipment is not calibrated.**

- **The unit understands the calibration requirement, but the Test, Measurement, and Diagnostics Equipment (TMDE) shop at the Sustainment Brigade will not accept the job orders.**

- **The TMDE shop does not have the required personnel and equipment to con and does not want to suffer the downtim**

Root Cause

Case Study 3

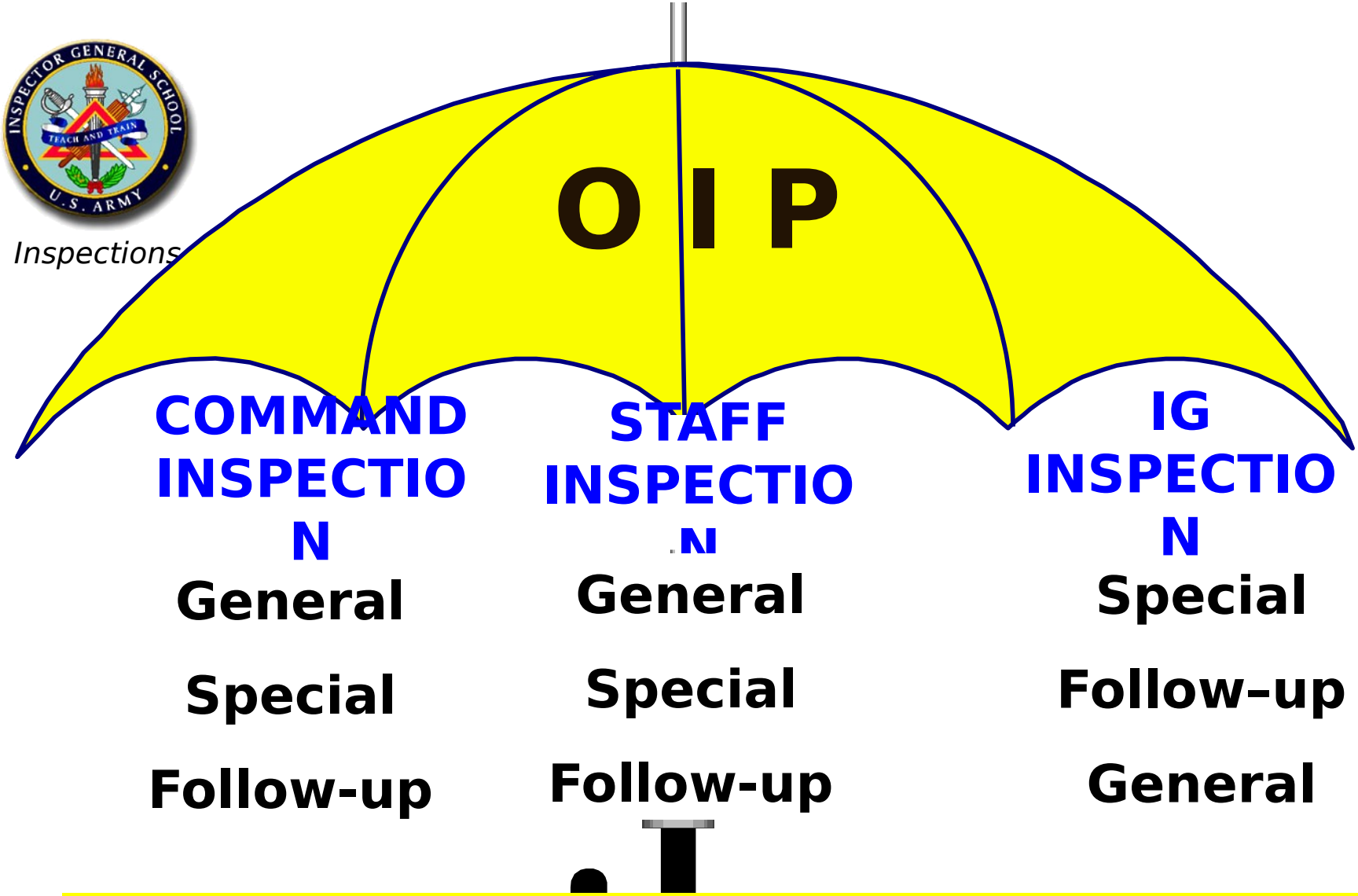
- **An armor battalion's CBRN equipment is not calibrated.**
- **The unit understands the calibration requirement, but the TMDE shop will not accept the job orders.**
- **The TMDE shop does not have the required personnel and equipment to conduct calibration and does not want to suffer the downtime.**

- **What is the standard?**
  - **Annual calibration of all CBRN equipment**
  - **Unit: Can't comply because the TMDE shop won't accept the job orders (symptom of the TMDE's root causes).**
  - **TMDE: Can't and won't comply due to lack of resources and the downtime penalty involved (a symptom as well).**

Types of Inspections

- **General Inspection. These inspections are broad in scope, oriented on units, and designed to look at all aspects of the organization. (Once called compliance inspections)**
- **Special Inspection. These inspections are focused on specific functions, programs, procedures, problems, or issues; these inspections also look at groups of related problems or procedures. The special inspection facilitates the systemic approach to an inspection and is the preferred type of IG Inspection.**
- **Follow-up Inspection. These inspections review the effectiveness of corrective actions taken as a result of a previous inspection.**

The Inspections Guide, Section 2-2, pages 2-2-2 to 2-2-3



All three inspection categories can contain the three types of inspections.

OIP: Battalion

ELO 7

The battalion is the basic building block of the OIP

- The Battalion OIP normally includes Command Inspections (Initial and Subsequent) and Staff Inspections
- The Battalion OIP focuses on areas that immediately impact on readiness and that reinforce goals and standards
- Teaching and training is a goal of company-level Command Inspections

AR 1-201, paragraph 3-2c

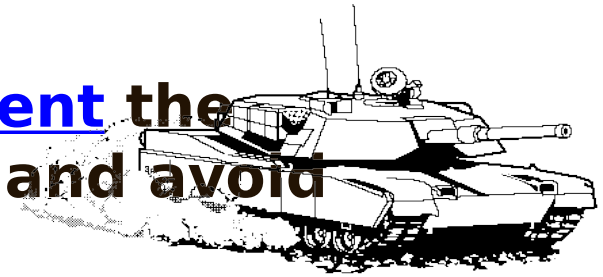
OIP: Brigade

- **The Brigade OIP normally includes Command Inspections, Staff Inspections, and Staff Assistance Visits**

- **The Brigade OIP focuses on units and functional areas**

- **The Brigade OIP should include inspections of the brigade headquarters company**

- **The Brigade OIP must complement the battalion commanders' programs and avoid redundancy**



OIP: Division

- **The Division OIP consists primarily of Staff and IG Inspections**
- **At a minimum, the Division OIP should:**
  - **Establish a plan to check the OIP's effectiveness (an IG role)**
  - **Protect subordinate commanders from constant inspections**

nt briga ali n C

Developing an OIP

- **Your unit or command's OIP will normally exist in the form of a local regulation or memorandum.**

- **The OIP document should list responsibilities for staff members and subordinate commanders and designate an overall OIP Coordinator.**

The Inspections Guide, Chapter 5

Developing an OIP
(continued)

- **The OIP document should articulate the commander's overall inspection guidance.**

- **The OIP document should address the relevant categories of inspections (Command, Staff, and IG) – as they pertain to the command – by frequency, focus, and so on.**

Developing an OIP
(continued)

- **The OIP document should address Intelligence Oversight within the unit or command (division and above only).**

- **The OIP document must capture all inspections that affect the command and then prioritize them – or eliminate some of them!**

- **The OIP document should establish the scope and standards for the different types of inspections.**

Developing an OIP
(continued)

- **Use IG technical channels to share inspection standards and objectives.**

- **The OIP document should address the Army's Internal Control Evaluation Process.**
(AR 20-1, paragraph 5-1g & Appendix E; AR 11-2)

The IG Inspection Selection Process

The Inspections Guide, Section 3-4

The IG Inspection Selection Process

- **The IG must know the Commander**
- **The IG must attend relevant staff meetings and listen in on key topics of discussion**
- **The IG must keep up with all of his or her commander's current policies and philosophies**
- **The IG must be a visible and participating member of the command**

The IG Inspection Selection Process

How do you build an Inspection Priority List?

The IG must be aware of the commander's guidance and trends within the command.

- **Review the IG Database for trends**
- **Review the Annual Training Guidance**
- **Review Local Command Policy and Goals**
- **Know the Command Vision**
- **Review DAIG and higher headquarters' inspection priorities**
- **Study pertinent issues in Unit Status Reports or Strategic Readiness System (SRS)**

The IG Inspection Selection Process

Analyze your information for its . . .

- **Impact on Unit Readin**
- **Value to the Commanc**
- **Priority to the Comma**

The IG Inspection Selection Process

Develop a prioritized list

- **List the inspection topics by priority**
- **Develop at least four key inspection topics for the fiscal year (one topic per quarter)**
- **Explain to the commander how and why these inspections will contribute to unit readiness**

For example,

1. **OIP (1st Quarter)**
2. **Composite Risk Management (CRM) (2nd Quarter)**
3. **Force Protection (3rd Quarter)**
4. **Property Accountability (4th Quarter)**

The Inspection Selection Process

Generate a list for your Commander's approval

CONSIDER THE COMMANDER'S GUIDANCE AND CURRENT TRENDS

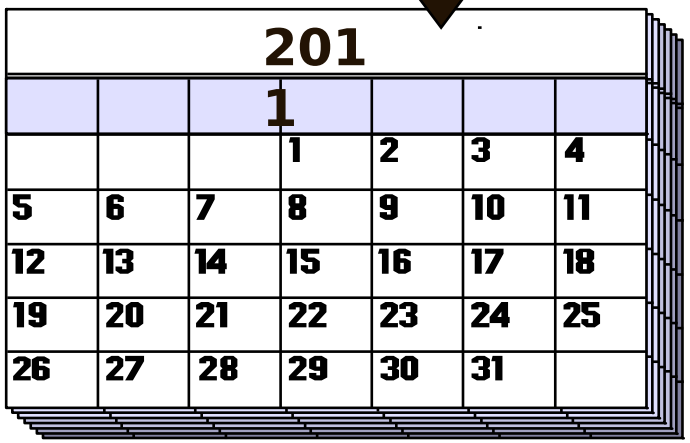
DETERMINE COMMANDER'S PRIORITIES

ANALYZE THE INFORMATION

DEVELOP THE LIST

1. **OIP**
2. **CRM**
3. **Force Protection**
4. **Property Accountability**

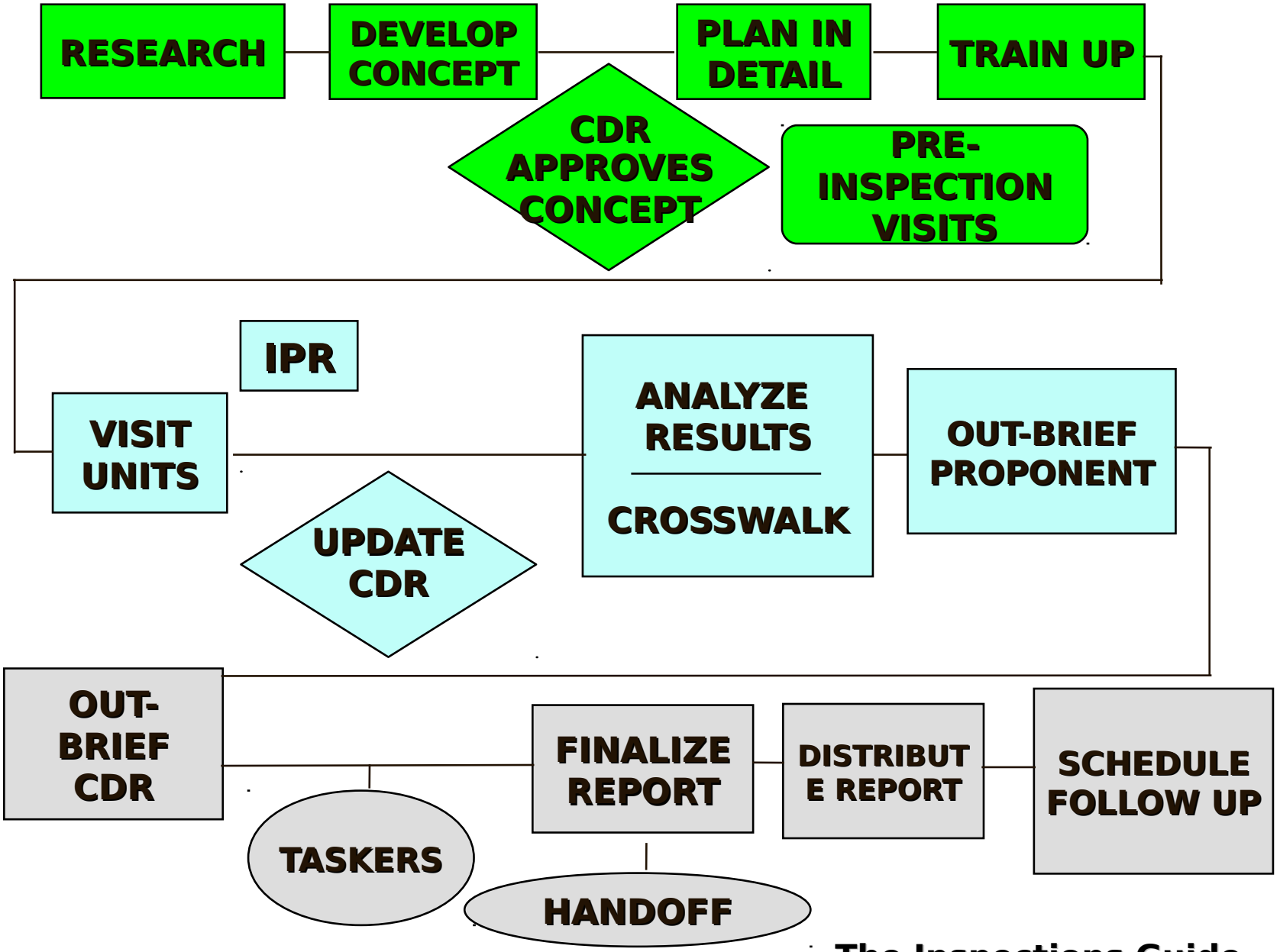
COMMANDER APPROVES LIST



INSPECTION LIST PUBLISHED

U.S.ARMY
INSPECTIONS
SO EASY A CAVEMAN CAN DO IT.

The Inspections Process



PREPARATION EXECUTION COMPLETION

The Inspections Guide,